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Group Art Unit:

1742

Naoyuki Kobayashi, et al.

Examiner: Leader, William T.

Serial No.:

09/787,021

Filed:

April 18, 2001

For:

METHOD FOR FORMING A LUBRICATIVE FILM FOR

COLD WORKING

Attorney Docket No.: HSTI0112PUSA

INFORMATION DISCLOSURE STATEMENT AND CERTIFICATION UNDER 37 C.F.R. § 1.97(c) AND (e)(1)

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Sir:

In compliance with the duty of disclosure under 37 C.F.R. § 1.56 and §§ 1.97-1.98, the references listed and identified on the attached Forms PTO/SB08A and/or SB08B are being submitted herewith for consideration by the Examiner. This Statement is being filed in accordance with 37 C.F.R. § 1.97(c), i.e., before the mailing of a notice of allowance.

Each item of information contained in this Statement was first cited in a communication from a foreign patent office in a counterpart foreign application (copy of communication enclosed) not more than three months prior to the filing of this Statement.

CERTIFICATE OF MAILING UNDER 37 C.F.R. § 1.8

I hereby certify that this paper, including all enclosures referred to herein, is being deposited with the United States Postal Service as first-class mail, postage pre-paid, in an envelope addressed to: Mail Stop Amendment, Commissioner for Patents, U.S. Patent & Trademark Office, P.O. Box 1450, Alexandria, VA 22813-1450 on:

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Name of Person Signing

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Atty Dkt No. HSTI0112PUSA

S/N: 09/787,021

While this Statement is being filed in compliance with the duty of disclosure, citation of the attached references is not to be construed as an admission that any of the references are "material" as defined under 37 C.F.R. § 1.56(b).

No copies of the listed U.S. patent references or the listed U.S. patent application publication references have been included herewith pursuant to 37 C.F.R. § 1.98(a)(2). All other references have been provided as required. Consideration and entry into the record of the listed references is respectfully requested.

Respectfully submitted,

Naoyuki Kobayashi, et al.

William G. Abbatt Reg. No. 31,936

Attorney/Agent for Applicant

Date: February 1, 2005

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PTO/SB/08A (10-96) [MODIFIED]
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Complete if Known Substitute for Form 1449A/PTO **Application Number** 09/787,021 STATEMENT BY APPLICANT Filing Date April 18, 2001 First Named Inventor Naoyuki Kobayashi, et al. Group Art Unit 1742 (use as many sheets as necessary) **Examiner Name** William T. Leader 2 HSTI0112PUSA Attorney Docket Number 1 Sheet of

U.S. PATENT DOCUMENTS										
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Examiner Initials	Cite No. ¹	Number	Kind Code ² (<i>if known</i>)	Name of Patentee or Applicant of Cited Document	Cited Document MM-DD-YYYY	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear				
										
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¹ Unique citation designation number. ² See attached Kinds of U.S. Patent Documents. ³ Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). ⁴ For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. ⁵ Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. ⁶ Applicant is to place a check mark here if English language Translation is attached.

Substitute for Form 1449B/PTO				Complete if Known						
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				Group Art Unit	1742					
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OTHER PRIOR ART NON PATENT LITERATURE DOCUMENTS										
Examiner Initials	Cite No.1		n (book, magazine, journal, s	CAPITAL LETTERS), title of the ar erial, symposium, catalog, etc.), dat blisher, city and/or country where pu	e, page(s), volume-issue number(s),	T 2				
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